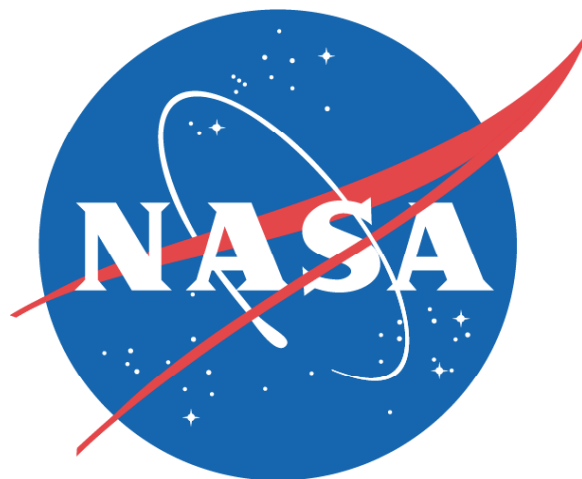


Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Assessment and Reporting



**NASA Headquarters
Office of Space Science (OSS)**

Office Work Instruction

Performance Assessment and Reporting

Approved by: (Original signed by Christopher J. Scolese) Date: (12/18/2001)
Christopher J. Scolese
Deputy Associate Administrator for Space Science

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Assessment and Reporting**DOCUMENT HISTORY LOG**

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/01/1999	<ul style="list-style-type: none">Initial "baseline" version of the OWI.
Revision	A	05/10/1999	<ul style="list-style-type: none">Incorporates modifications responsive to NCRs #279, #293, #296, #302, #311, #312, #315, #317, and #321 from the NASA HQ ISO-9001 Pre-Assessment audit.
Revision	B	11/16/1999	<ul style="list-style-type: none">Changes all references to "Education and Public Outreach (EPO)" to become "Education and Outreach (E&O)".Modifies process description in Section 6, Steps #6.4 and #6.6 to clarify "review" and "approval" activities.Revises set of "quality record" and "non-quality record" output products in Section 6 and Section 7.Incorporates recent terminology and format standardization.
Revision	C	12/18/2001	<ul style="list-style-type: none">Incorporates impact of OSS reorganization (effective 07/01/2001).Clarifies SSE E&PO involvement in SSE performance assessment and reporting process.Clarifies in Section 2 and Section 6 that "independent assessment evaluators" are non-NASA personnel.Incorporates url's for referenced documents into Section 4.Incorporates process modifications identified by new Process Owner into Section 5 and Section 6.Clarifies specific functional roles of Action Officers in Section 5 and Section 6.Revises "footer" to indicate both "internal" and "external" web sites for NASA HQ ISO 9001 Documentation Master List.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Assessment and Reporting

1. PURPOSE

The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) develops and documents Space Science Enterprise (SSE) Performance Report Data (PRD). The SSE PRD are subsequently incorporated into the NASA Performance Report as required by the Government Performance and Results Act (GPRA) of 1993.

2. SCOPE AND APPLICABILITY

- 2.1 Preparation of the SSE PRD is the responsibility of the OSS Headquarters science, flight, and technology program management, based upon information obtained from program and project offices at the NASA Centers and independent (i.e., non-NASA) assessment evaluators. Coordination is provided by the Code SP Program Analyst, with guidance from the Strategic and International Planning Director (SIPD).

3. DEFINITIONS

- 3.1 AA. Associate Administrator for Space Science.
- 3.2 Code B. NASA Headquarters Office of the Chief Financial Officer (CFO).
- 3.3 Code SE. OSS Solar System Exploration Division.
- 3.4 Code SM. OSS Mars Exploration Program Office.
- 3.5 Code SP. OSS Resources Management Division.
- 3.6 Code SS. OSS Sun-Earth Connection Division.
- 3.7 Code SZ. OSS Astronomy and Physics Division.
- 3.8 EDP. OSS Executive Director for Programs.
- 3.9 EDS. OSS Executive Director for Science.
- 3.10 E&PO. Education and Public Outreach.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Assessment and Reporting

3. DEFINITIONS *(concluded)*

- 3.11 E&POD. OSS Education and Public Outreach Director.
- 3.12 GPRA. Government Performance and Results Act.
- 3.13 OSS. NASA Headquarters Office of Space Science.
- 3.14 SIPD. OSS Strategic and International Planning Director.
- 3.15 SSE. NASA Space Science Enterprise.
- 3.16 TD. OSS Technology Director.

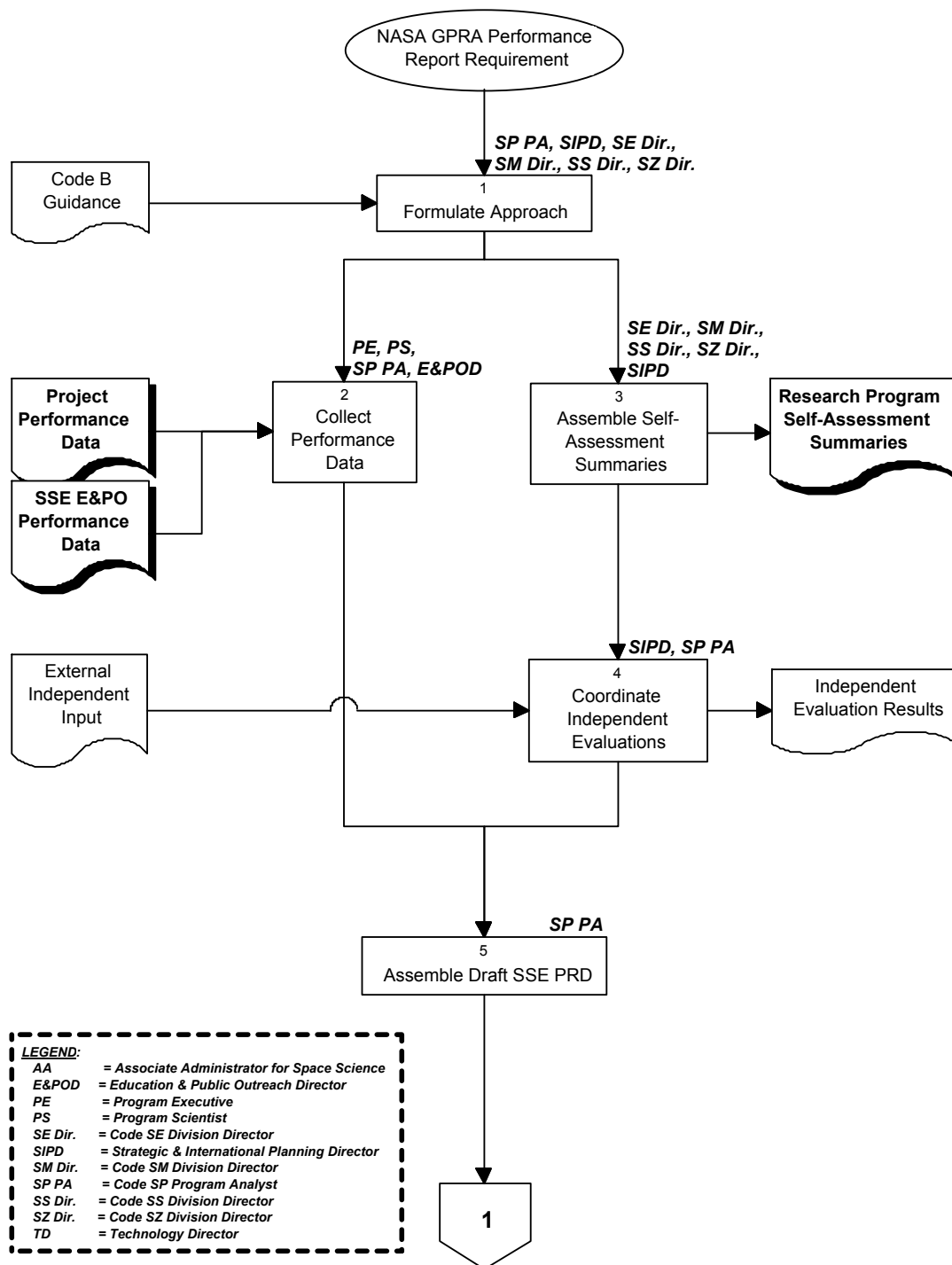
4. REFERENCES

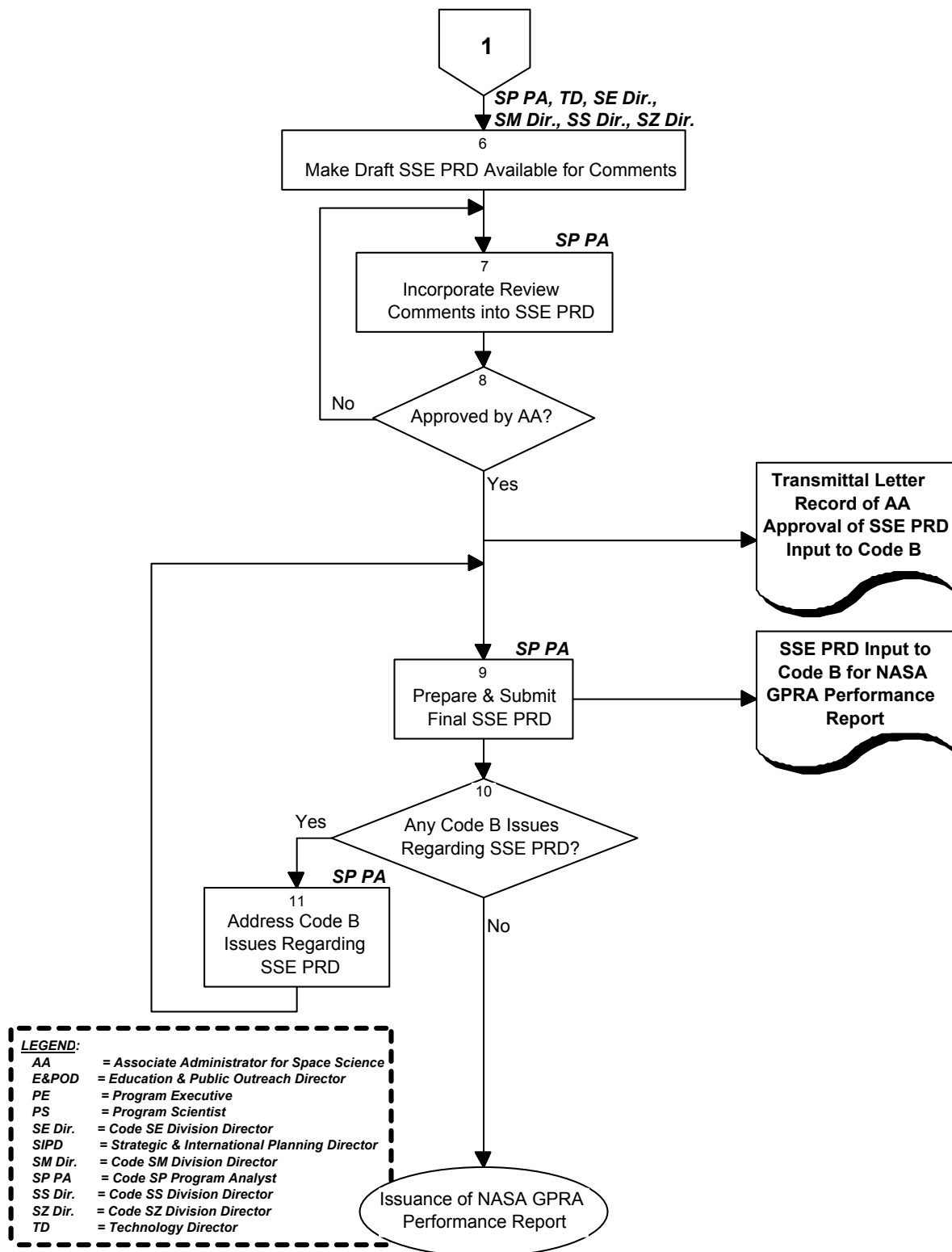
- 4.1 NPG 1441.1 NASA Records Retention Schedules (NRRS)
[http://nodis3.gsfc.nasa.gov/library/lib_docs.cfm?range=1___]
- 4.2 Government Performance and Results Act (GPRA) of 1993

Subject: Performance Assessment and Reporting**5. FLOWCHART**

[NOTE #1: Process steps are numbered in accordance with their corresponding step numbers in Section 6.]

[NOTE #2: "Quality records" are identified via bold-text titles and shadowing of the border of their symbols.]



Subject: Performance Assessment and Reporting**5. FLOWCHART (concluded)**

Subject: Performance Assessment and Reporting

6. PROCEDURE

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
1	Code SP Program Analyst SIPD Code SE Director Code SM Director Code SS Director Code SZ Director	The Code SP Program Analyst formulates an approach for development of SSE Performance Report Data (PRD), based upon NASA-level guidance received from Code B. The NASA GPRA Performance Report is aligned with the components of the NASA GPRA Performance Plan. The SIPD develops a detailed methodology for assessing the status of the research programs. This methodology is then implemented by the Directors of Codes SE, SM, SS, and SZ (or their designees). Because of the long time lag associated with negotiating arrangements with volunteer independent (i.e., non-NASA) evaluators, preparatory actions need to be taken in this area well in advance of the close of the current fiscal year.
2	Program Executives Program Scientists Code SP Program Analyst E&POD	The OSS Program Executives and Program Scientists collect and validate project-performance data for fiscal-year performance targets from NASA Center program and project offices and provide these data to the Code SP Program Analyst for integration and analysis. The E&POD provides performance data for SSE Education and Public Outreach activities.
3	Code SE Director Code SM Director Code SS Director Code SZ Director SIPD	Because SSE research programs are not susceptible to progress measurement by means of key-event milestones, they are subjected to a self-assessment, which in turn is independently evaluated. Self-assessment summaries of SSE research programs are assembled by the Directors of Codes SE, SM, SS, and SZ (or their designees). The SIPD coordinates the self-assessment process.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Assessment and Reporting**6. PROCEDURE** *(continued)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
4	SIPD Code SP Program Analyst	The SIPD provides the information assembled in Step #3 to the independent evaluators, coordinates their review of it, and facilitates clarification of issues. The Code SP Program Analyst provides the independent evaluators with related project-performance data. The SIPD receives the inputs from the independent evaluators and forwards this information to the Code SP Program Analyst.
5	Code SP Program Analyst	The Code SP Program Analyst integrates the project-performance data (from Step #2) with the independent evaluators' performance assessments (from Step #4) to assemble the draft SSE Performance Report Data (PRD). <i>[NOTE: In order to comply with deadlines levied by Code B in its guidance received at Step #1, the Code SP Program Analyst may occasionally need to submit a <u>preliminary</u> version of the draft SSE PRD pending receipt of information from the independent evaluators, based upon the schedules and availability of these non-NASA experts. If inputs from the independent evaluators become available after the initial OSS submission of the draft SSE PRD to Code B, the Code SP Program Analyst then compiles an updated version and submits it to Code B.]</i>
6	Code SP Program Analyst TD Code SE Director Code SM Director Code SS Director Code SZ Director	The Code SP Program Analyst circulates the draft SSE PRD to the TD and the Directors of Codes SE, SM, SS, and SZ for comment.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Assessment and Reporting**6. PROCEDURE** *(concluded)*

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
7	Code SP Program Analyst	The Code SP Program Analyst resolves any issues resulting from the review comments from Step #6, incorporates the results into the SSE PRD, and submits it to the Associate Administrator for Space Science.
8		If the Associate Administrator for Space Science approves the SSE PRD via signature on its Transmittal Letter, the Code SP Program Analyst proceeds to Step #9. If the SSE PRD is not approved, the Code SP Program Analyst resolves issues identified by the Associate Administrator for Space Science.
9	Code SP Program Analyst	The Code SP Program Analyst prepares the final SSE PRD and associated documentation and submits them to Code B for incorporation into the NASA GPRA Performance Report, in accordance with the Code B guidance letter received in Step #1.
10		If Code B notifies the Code SP Program Analyst of issues it has regarding the SSE PRD submission, the Code SP Program Analyst proceeds to Step #11. If not, the process is finished.
11	Code SP Program Analyst	The Code SP Program Analyst reviews any issues raised by Code B regarding the SSE PRD, exercises his/her professional judgment to determine whether and how to revise it, and provides the results of this activity to Code B.

Responsible Office: NASA Headquarters Office of Space Science (OSS) [Code S]

Subject: Performance Assessment and Reporting**7. QUALITY RECORDS**

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Project Performance Data	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
SSE E&PO Performance Data	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Research Program Self-Assessment Summaries	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
Transmittal Letter Record of AA Approval of SSE PRD Input to Code B	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.
SSE Performance Report Data (PRD) Input to Code B for NASA GPRA Performance Report	Code SP Program Analyst	Code SP Program Analyst's office	Hardcopy	Schedule 1, Item 79B	Destroy when 2 years old.

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via bold-text titles and shadowing of the border of their symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]